

**Attorney Docket No. 05725.0490-00**

**In re National Stage of International  
Application No. PCT/FR99/00609 of:**

**Serial No.: 09/423,974**

**PCT Filed: March 17, 1999**

Filed: November 17, 1999

**For: USE OF A SILICONE SURFACTANT OF  
ALKYL-DIMETHICONE COPOLYOL TYPE  
FOR PREPARING SOLID WATER-IN-OIL  
COSMETIC EMULSIONS AND RESULTING  
SOLID WATER-IN-OIL EMULSIONS**

**Group Art Unit: Unassigned**

**Examiner:** Unassigned

Assistant Commissioner for Patents  
Washington, D.C. 20231

### Attention: Box Assignments

Sir:

Applicants hereby submit the executed Assignment in the above-identified application from NADIA TERREN, MARIE-MARTINE ROUX, and SOPHIE FAVRE, assigning their rights in the invention to L'ORÉAL. Please record the Assignment and return to the undersigned.

Please charge our Deposit Account No. 06-0916 in the amount of \$40.00 to cover the required recordation fee. A duplicate copy of this sheet is enclosed.

**Please charge any additional required fees to our Deposit Account No. 06-0916.**

Respectfully submitted,

**FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER. L.L.P.**

**By:**

Anthony M. Gutowski  
Reg. No. 38,742

Dated: January 5, 2000

To the Honorable Commissioner of Patents and Trademarks:  
Please record the attached original documents or copy thereof.

ATTN. BOX ASSIGNMENTS

1. Name of conveying party(ies):

Nadia TERREN, Marie-Martine ROUX, and Sophie FAVRE

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

2. Name and address of receiving party(ies):

Name: L'Oréal S.A.

Internal Address: \_\_\_\_\_

Street Address: 14, rue Royale  
75008 Paris, France

City: \_\_\_\_\_

State: \_\_\_\_\_ ZIP: \_\_\_\_\_

Additional name(s) & address(es) attached?

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment ☐ Merger

☐ Security Agreement ☐ Change of Name

Other \_\_\_\_\_

Execution Date: November 22, 1999 and December 9, 1999

4. Application number(s) or patent numbers(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s)

B. Patent No.(s)

09/423,974

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Thomas L. Irving

Internal Address: FINNEGAN, HENDERSON,

FARABOW, GARRETT & DUNNER, L.L.P.

Street Address: 1300 I Street, NW

City: Washington, D.C.

State: \_\_\_\_\_ ZIP: 20005

6. Total number of applications and patents involved 1

7. Total fee (37 CFR 3.41): \$ 40.00

☐ Enclosed

☒ Deposit Account

8. Deposit account number: 06-0916

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Anthony M. Gutowski - Reg. No. 38,742  
Name of Person Signing

  
Signature

January 5, 2000  
Date

JOINT INVENTION  
(U.S. Rights Only)

### ASSIGNMENT

WHEREAS, We, the below named inventors, (hereinafter referred to as Assignors, have made an invention entitled:

USE OF A SILICONE SURFACTANT OF ALKYL-DIMETHICONE COPOLYOL TYPE  
FOR PREPARING SOLID WATER-IN-OIL COSMETIC EMULSIONS AND RESULTING  
SOLID WATER-IN-OIL EMULSIONS

for which we executed an application for United States Letters Patent concurrently herewith or on \_\_\_\_\_ or filed an application for United States Letters Patent on \_\_\_\_\_ (Serial No. \_\_\_\_\_); and

WHEREAS, L'OREAL S.A., a corporation of France whose post office address is 14, rue Royale, F-75008 Paris, France (hereinafter referred to as Assignee), is desirous of securing the entire right, title, and interest in and to this invention, the application for United States Letters Patent on this invention and the Letters Patent to be issued upon this application;

NOW THEREFORE, be it known that, for good and valuable consideration the receipt of which from assignee is hereby acknowledged, we, as assignors, have sold, assigned, transferred, and set over, and do hereby sell, assign, transfer, and set over unto the assignee, its lawful successors and assigns, our entire right, title, and interest in and to this invention and this application, and all divisions, and continuations thereof, and all Letters Patent of the United States which may be granted thereon, and all reissues thereof; and we hereby authorize and request the Commissioner of Patents and Trademarks of the United States to issue all Letters Patent for this invention to assignee, its successors and assigns, in accordance with the terms of this Assignment;

AND, WE HEREBY further covenant and agree that we will, without further consideration, communicate with assignee, its successors and assigns, any facts known to us respecting this invention and testify in any legal proceeding, sign all lawful papers when called upon to do so, execute and deliver all papers that may be necessary or desirable to perfect the title to this invention in said assignee, its successors and assigns, execute all divisional, continuation, and reissue applications, make all rightful oaths and generally do everything possible to aid assignee, its successors and assigns, to obtain and enforce proper patent protection for this invention in the United States, it being understood that any expense incident to the execution of such papers shall be borne by the assignee, its successors and assigns.

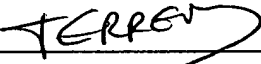
AND, WE HEREBY authorize and request the attorneys we have empowered in the Declaration and Power of Attorney in this application, to insert here in parentheses (Application No. 09/423,944, filed November 17, 1999) the filing date and application number of said application when known.

IN TESTIMONY WHEREOF, we have hereunto set our hands.

**First Assignor**

Nadia TERREN  
29 bis, avenue du Panorama  
F-92340 Bourg-la-Reine, France


Citizenship: French

Signature: X   
Date: X 22 novembre 99

**Second Assignor**

Marie-Martine ROUX  
13, place du Roussillon  
F-91200 Athis-Mons, France

Citizenship: French

Signature: X  Roux  
Date: X 22 Novembre 1999

**Third Assignor**

Sophie FAVRE  
1, allée du Jura  
F-94550 Chevilly-Larue, France

Citizenship: French

Signature: X *Sophie FAVRE*  
Date: X *9/12/99*

## Declaration and Power of Attorney for Patent Application

### Déclaration et Pouvoir pour Demand de Brevet

#### French Language Declaration

En tant que l'inventeur nommé ci-après, je déclare par le présent acte que:

As a below named inventor, I hereby declare that:

Mon domicile, mon adresse postale et ma nationalité sont ceux figurant ci-dessous à côté de mon nom.

My residence, post office address and citizenship are as stated next to my name.

Jè crois être le premier inventeur original et unique (si un seul nom est mentionné ci-dessous), ou l'un des premiers co-inventeurs originaux (si plusieurs noms sont mentionnés ci-dessous) de l'objet revendiqué, pour lequel une demande de brevet a été déposée concernant l'invention intitulée

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

USE OF A SILICONE SURFACTANT OF ALKYL-DIMETHICONE COPOLYOL TYPE FOR PREPARING SOLID WATER-IN-OIL COSMETIC EMULSIONS AND RESULTING SOLID WATER-IN-OIL EMULSIONS

et dont la description est fournie ci-joint à moins que la case suivante n'ait été cochée:

the specification of which is attached hereto unless the following box is checked:

☒ a été déposée le \_\_\_\_\_  
sous le numéro de demande des Etats-Unis ou le  
numéro de demande international PCT  
\_\_\_\_\_ et modifiée  
\_\_\_\_\_ (les cas échéant).

☒ was filed on March 17, 1999 as United States  
Application Number or PCT International  
Application Number PCT/FR99/00609 and was  
amended on \_\_\_\_\_ (if applicable).

Je déclare par le présent acte avoir passé en revue et compris le contenu de la description ci-dessus, revendications comprises, telles que modifiées par toute modification dont il aura été fait référence ci-dessus.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above

Je reconnais devoir divulguer toute information pertinente à la brevetabilité, comme défini dans le Titre 37, § 1.56 du Code fédéral des réglementations.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56.

**French Language Declaration**

Je revendique par le présent acte avoir la priorité étrangère, en vertu du Titre 35, § 119(a)-(d) ou § 365(b) du Code des Etats-Unis, sur toute demande étrangère de brevet ou certificat d'inventeur ou, en vertu du Titre 35, § 365(a) du même Code, sur toute demande internationale PCT désignant au moins un pays autre que les Etats-Unis et figurant ci-dessous et, en cochant la case, j'ai aussi indiqué ci-dessous toute demande étrangère de brevet, tout certificat d'inventeur ou toute demande internationale PCT ayant une date de dépôt précédant celle de la demande à propos de laquelle une priorité est revendiquée.

Prior foreign application(s)  
Demande(s) de brevet antérieure(s)

Priority Not Claimed  
Droit de priorité non revendiqué

98/03250                      France  
(Number)                      (Country)  
(Numéro)                      (Pays)

(Number)                      (Country)  
(Numéro)                      (Pays)

Je revendique par le présent acte tout bénéfice, en vertu du Titre 35, § 119(e) du Code des Etats-Unis, de toute demande de brevet provisoire effectuée aux Etats-Unis et figurant ci-dessous.

(Application No.)                      (Filing Date)  
(N° de demande)                      (Date de dépôt)

(Application No.)                      (Filing Date)  
(N° de demande)                      (Date de dépôt)

Je revendique par le présent acte tout bénéfice, en vertu du Titre 35, § 120 du Code des Etats-Unis, de toute demande de brevet effectuée aux Etats-Unis, ou en vertu du Titre 35, § 365(c) du même Code, de toute demande internationale PCT désignant les Etats-Unis et figurant ci-dessous et, dans la mesure où l'objet de chacune des revendications de cette demande de brevet n'est pas divulgué dans la demande antérieure américaine ou internationale PCT, en vertu des dispositions du premier paragraphe du Titre 35, § 112 du Code des Etats-Unis, je reconnais devoir divulguer toute information pertinente à la brevetabilité, comme défini dans le Titre 37, § 1.56 du Code fédéral des réglementations, dont laquelle est devenue disponible entre la date de dépôt de la demande antérieure, et la date de dépôt de la demande nationale ou internationale PCT de la présente demande:

(Application No.)                      (Filing Date)  
(N° de demande)                      (Date de dépôt)

(Application No.)                      (Filing Date)  
(N° de demande)                      (Date de dépôt)

Je déclare par le présent acte que toute déclaration ci-incluse est, à ma connaissance, véridique et que toute déclaration formulée à partir de renseignements ou de suppositions est tenue pour véridique; et de plus, que toutes ces déclarations ont été formulées en sachant que toute fausse déclaration volontaire ou son équivalent est passible d'une amende ou d'une incarcération, ou des deux, en vertu de la Section 1001 du Titre 18 du Code des Etats-Unis, et que de telles déclarations volontairement fausses risquent de compromettre la validité de la demande de brevet ou du brevet délivré à partir de celle-ci.

I hereby claim foreign priority under Title 35, United States Code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International Application which designated at least one country other than the United States, listed below, and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed.

17 March 1998                      ☐  
(Day/Month/Year Filed)  
(Jour/Mois/Anné de dépôt)

(Day/Month/Year Filed)  
(Jour/Mois/Anné de dépôt)                      ☐

I hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States provisional application(s) listed below.

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s), or § 365(c) of any PCT International Application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International Application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose any or all information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

(Status) (patented, pending, abandoned)  
(Status) (breveté, en cours d'examen, abandonné)

(Status) (patented, pending, abandoned)  
(Status) (breveté, en cours d'examen, abandonné)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**French Language Declaration**

POUVOIRS: En tant que l'inventeur cité, je désigne par la présente l'(les) avocat(s) et/ou agent(s) suivant(s) pour qu'ils poursuive(nt) la procédure de cette demande de brevet et traite(nt) toute affaire s'y rapportant avec L'Office des brevets et des marques: (*mentionner le nom et le numéro d'enregistrement*).

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this patent application and transact all business in the Patent and Trademark Office connected therewith: (*list name and registration number*):

**FINNEGAN, HENDERSON, FARABOW, GARRETT & DUNNER, L.L.P., Reg. No. 22,540**, Douglas B. Henderson, Reg. No. 20,291; Ford F. Farabow, Jr., Reg. No. 20,630; Arthur S. Garrett, Reg. No. 20,338; Donald R. Dunner, Reg. No. 19,073; Brian G. Brunsvold, Reg. No. 22,593; Tipton D. Jennings, IV, Reg. No. 20,645; Jerry D. Voight, Reg. No. 23,020; Laurence R. Hefter, Reg. No. 20,827; Kenneth E. Payne, Reg. No. 23,098; Herbert H. Mintz, Reg. No. 26,691; C. Larry O'Rourke, Reg. No. 26,014; Albert J. Santorelli, Reg. No. 22,610; Michael C. Elmer, Reg. No. 25,857; Richard H. Smith, Reg. No. 20,609; Stephen L. Peterson, Reg. No. 26,325; John M. Romary, Reg. No. 26,331; Bruce C. Zotter, Reg. No. 27,680; Dennis P. O'Reilly, Reg. No. 27,932; Allen M. Sokal, Reg. No. 26,695; Robert D. Bajefsky, Reg. No. 25,387; Richard L. Stroup, Reg. No. 28,478; David W. Hill, Reg. No. 28,220; Thomas L. Irving, Reg. No. 28,619; Charles E. Lipsey, Reg. No. 28,165; Thomas W. Winland, Reg. No. 27,605; Basil J. Lewris, Reg. No. 28,818; Martin I. Fuchs, Reg. No. 28,508; E. Robert Yoches, Reg. No. 30,120; Barry W. Graham, Reg. No. 29,924; Susan Haberman Griffen, Reg. No. 30,907; Richard B. Racine, Reg. No. 30,415; Thomas H. Jenkins, Reg. No. 30,857; Robert E. Converse, Jr., Reg. No. 27,432; Clair X. Mullen, Jr., Reg. No. 20,348; Christopher P. Foley, Reg. No. 31,354; John C. Paul, Reg. No. 30,413; Roger D. Taylor, Reg. No. 28,992; David M. Kelly, Reg. No. 30,953; Kenneth J. Meyers, Reg. No. 25,146; Carol P. Einaudi, Reg. No. 32,220; Walter Y. Boyd, Jr., Reg. No. 31,738; Steven M. Anzalone, Reg. No. 32,095; Jean B. Fordis, Reg. No. 32,984; Barbara C. McCurdy, Reg. No. 32,120; James K. Hammond, Reg. No. 31,964; Richard V. Burgujian, Reg. No. 31,744; J. Michael Jakes, Reg. No. 32,824; Dirk D. Thomas, Reg. No. 32,600; Thomas W. Banks, Reg. No. 32,719; Christopher P. Isaac, Reg. No. 32,616; Bryan C. Diner, Reg. No. 32,409; M. Paul Barker, Reg. No. 32,013; Andrew Chanho Sonu, Reg. No. 33,457; David S. Forman, Reg. No. 33,694; Vincent P. Kovalick, Reg. No. 32,867; James W. Edmondson, Reg. No. 33,871; Michael R. McGurk, Reg. No. 32,045; Joann M. Neth, Reg. No. 36,363; Gerson S. Panitch, Reg. No. 33,751; Cheri M. Taylor, Reg. No. 33,216; Charles E. Van Horn, Reg. No. 40,266; Linda A. Wadler, Reg. No. 33,218; Jeffrey A. Berkowitz, Reg. No. 36,743; Michael R. Kelly, Reg. No. 33,921; and James B. Monroe, Reg. No. 33,971; **and Thalia V. Warnement, Reg. No. 39,064; Michele C. Bosch, Reg. No. 40,524; Allen R. Jensen, Reg. No. 28,224; Mark D. Sweet, Reg. No. 41,469; and Anthony M. Gutowski, Reg. No. 38,742.**

Addresser toute correspondance à:

Send all Correspondence to:

**FINNEGAN, HENDERSON, FARABOW, GARRETT & DUNNER, L.L.P.**  
1300 I Street, N.W., Washington, D.C. 20005.  
Telephone No. (202) 408-4000.

Addresser tout appel téléphonique à:  
(*nom et numéro de téléphone*)

Direct all Telephone Calls to:  
(*name and telephone number*)

Thomas L. Irving, Reg. No. 28,619  
Telephone Number (202) 408-4082



Nom complet de l'unique ou premier inventeur: <b>100</b>		Full name of sole or first inventor <u>Nadia TERREN</u>	
Signature de l'inventeur	Date	Inventor's signature <b>X TERREN</b>	Date <b>22 novembre 99</b>
Domicile	Residence 29 bis, avenue du Panorama, F-92340 <u>Bourg-la-Reine</u> , France <b>FRX</b>		
Nationalité:	Citizenship French		
Adresse postale:	Post Office Address Same as residence		
Nom complet du second co-inventeur, le cas échéant:		Full name of second joint inventor, if any: <u>Marie-Martine ROUX</u>	
Signature du second inventeur	Date <b>200</b>	Second Inventor's signature <b>X Marie-Martine ROUX</b>	Date <b>22 Novembre 99</b>
Domicile:	Residence 13, place du Roussillon, F-91200 <u>Athis-Mons</u> , France <b>FRX</b>		
Nationalité:	Citizenship French		
Adresse postale:	Post Office Address Same as residence		
Nom complet du third co-inventeur, le cas échéant: <b>300</b>		Full name of third joint inventor, if any: <u>Sophie FAVRE</u>	
Signature d'inventeur	Date	Third Inventor's signature <b>X Sophie FAVRE</b>	Date <b>9/12/99</b>
Domicile	Residence 1, allée du Jura, F-94550 <u>Chevilly-Larue</u> , France <b>FRX</b>		
Nationalité:	Citizenship French		
Adresse postale:	Post Office Address Same as residence		